

1765  
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PTO/SB/21 (02-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/027,882	
	Filing Date	12/21/2001	
	First Named Inventor	Vlad J. Novotny	
	Art Unit	1765	
	Examiner Name	Ahmed, Shamim	
Total Number of Pages in This Submission	4	Attorney Docket Number	AO-001-2D

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Technology Center (TC)
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	1. Return Receipt Postcard
<input checked="" type="checkbox"/> Information Disclosure Statement and PTO-1449	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>		
Firm or Individual name	Silicon Edge Law Group LLP Arthur J. Behiel	
Signature		
Date	April 29, 2004	

CERTIFICATE OF TRANSMISSION/MAILING	
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.	
Typed or printed name	Laurie Moreno
Signature	
Date	4/29/04

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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## SILICON EDGE LAW GROUP LLP

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29  
April 28, 2004

Rich Barlesi  
Active Optical Networks, Inc.  
4215 Technology Drive  
Fremont, CA 94538

Re: U.S. Patent Application entitled: "Deep-Well Lithography  
Process for Forming Micro-Electro-Mechanical Structures"  
Inventor: Vlad J. Novotny  
File No.: AO-001-2D  
Filing Date: 12/21/2001  
Serial No.: 10/027,882

Dear Rich,

Enclosed please find a copy of the Supplemental Information Disclosure Statement I filed for the above-cited application. The United States Patent Office disclosed these references in an Office Action for AO-001-1D and we are therefore obligated to cite these references in all other related cases.

No action is needed at this time.

Sincerely,

Arthur J. Behiel

Enc.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27TOTAL AMOUNT OF PAYMENT (\$)180.00

## Complete if Known

Application Number	101027,082
Filing Date	12.21.2001
First Named Inventor	Vlad J. Novotny
Examiner Name	Ahmed, Shamim
Art Unit	1765
Attorney Docket No.	A0-001-29D

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☐ Deposit Account:Deposit Account Number  
Deposit Account Name

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments☐ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1) (\$)			<u>    </u>

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	<u>    </u> -20** = <u>    </u> X <u>    </u>		
Independent Claims	<u>    </u> -3** = <u>    </u> X <u>    </u>		
Multiple Dependent	<u>    </u>		

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable.	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	180.00
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)180.00

## SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	Arthur J. Benip	Registration No. (Attorney/Agent)	39,603	Telephone	925.461.2113
Signature		Date	4.29.04		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Vlad J. Novotny and Yee-Chung Fu  
Assignee: Active Optical Networks, Inc.  
Title: "Deep-Well Lithography Process for Forming Micro-Electro-Mechanical Structures"  
Serial No.: 10/027,882 Filed: December 21, 2001  
Examiner: Ahmed, Shamim Tel: 703-305-1929  
Docket No.: AO-001-2D Art Unit: 1765

Box DD  
Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §1.56, §1.97 and §1.98, Applicant brings the 2 documents listed on the enclosed form PTO-1449 to the Examiner's attention in the above-captioned application. Citation of the listed documents shall not be construed as:

1. an admission that the documents are necessarily prior art with respect to the instant application;
2. a representation that a search has been made; or
3. an admission that the information cited is, or is considered to be, material to patentability as defined in §1.56(b).

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Box DD, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on April 29, 2004.

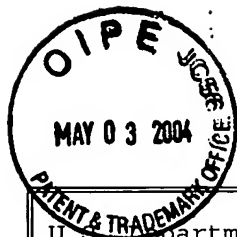
4.29.04  
Date

Laurie Moreno

Respectfully submitted,

Arthur J. Behiel  
Attorney for Applicants  
Reg. No. 39,603

05/04/2004 CCHAUI 00000206 10027882 180.00 OP  
01 FC:1806



U.S. Department of Commerce, Patent and Trademark Office	Serial No.: 10/027,882
	Filing Date: 12/21/2001
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Inventor: Vlad J. Novotny
	Group Art Unit: 1765
"Deep-Well Lithography Process for Forming Micro-Electro-Mechanical Structures"	Examiner Name: Ahmed, Shamim
	Attorney Docket No.: AO-001-2D

U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
	A	4,957,592	09/18/90	O'Neill	156	644	
	B	5,959,516	09/28/99	Chang et al.	334	14	
	C						
	D						
	E						

Foreign Patent Documents

							Translation	
		Document Number	Date	Country	Class	Subclass	Yes	No
	F							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	G	
	H	
	I	
	J	

Examiner

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.